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6/18/02  
C. D. Halsey  
Attorney Docket No. 614.1921/PIK

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Tadao NAKAZAWA, et al.

Group Art Unit: Unassigned

Serial No.: New

Examiner: Unassigned

Filed: February 11, 1999

For: ACOUSTO-OPTICAL TUNABLE FILTERS CASCADED TOGETHER

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INFORMATION DISCLOSURE STATEMENT

Technology Center 2600

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure provisions of 37 CFR § 1.56, there is hereby provided certain information which the Examiner may consider material to the examination of the subject U.S. patent application. It is requested that the Examiner make this information of record if it is deemed material to the examination of the subject application.

1. Enclosures accompanying this Information Disclosure Statement are:

- 1a. ☒ Form PTO-1449.
- 1b. ☒ Copies of IDS citations.
- 1c. ☐ An English language copy of search report(s) from a counterpart foreign application or a PCT International Search Report.
- 1d. ☐ English language translation (complete or relevant portion(s)) attached to each non-English language publication.
- 1e. ☐ Explanations of Relevancy of References (ATTACHMENT 1(e), hereto) for providing a concise explanation of each non-English publication.
- 1f. ☒ List of Copending Applications (ATTACHMENT 1(f), hereto).

2. ☐ In accordance with 37 CFR § 1.98, a concise explanation of what is presently understood to be the relevance of each non-English language publication is:

*(Check appropriate Items 2a, 2b, 2c and/or 2d)*

- 2a. ☐ satisfied because all non-English language publications were cited on the enclosed English language copy of the PCT International Search Report or the search report from a counterpart foreign application indicating the degree of relevance found by the foreign office. (See U.S. Patent & Trademark Office's authorization in the Federal Register, Vol. 57, No. 12, January 17, 1992, at page 2031 (Reply to Comment 68).)
- 2b. ☐ set forth in the application.
- 2c. ☐ satisfied because an English language translation (complete or relevant portion(s)) is attached to each non-English language publication.

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2d. [ ] enclosed as Attachment 1(e), hereto.

3. No admission is made that the information cited in this Statement is, or is considered to be, material to patentability nor a representation that a search has been made (other than search report(s) from a counterpart foreign application or a PCT International Search Report, if submitted herewith). 37 CFR §§ 1.97(g) and (h).

Respectfully submitted,  
STAAS & HALSEY

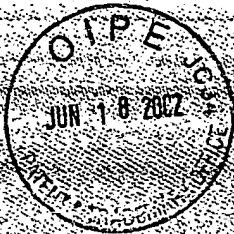
Dated: February 11, 1999  
700 Eleventh Street, N.W., Suite 500  
Washington, D.C. 20001  
Telephone: (202) 434-1500  
Facsimile: (202) 434-1501

By: Paul I. Kravetz  
Paul I. Kravetz  
Registration No. 35,230

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Please return this card, indicating receipt date and Serial No., if applicable, of the following

Form

IDS, 2 cited references, European Search Report/ PTO 1449

Applicant(s): NAKAZAWA et al.

Title: ACOUSTO-OPTICAL TUNABLE FILTERS  
CASCASED TOGETHER

Serial No.: 09/248,103

Filing Date: February 11, 1999

Docket No.: 614.1921/PIK

Due Date:

PIK/clw



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Please return this card, indicating receipt date and Serial No., if applicable, of the following Document:

IDS Form PTO-1449: 1 reference

Applicant(s): Tadao NAKAZAWA, et al.

Title: ACOUSTO-OPTICAL TUNABLE FILTERS  
CASCADDED TOGETHER

Serial No.: 09/248,103

Filing Date: February 11, 1999

Docket No.: 614.1921 (PIK)

Due Date: 03/26/01



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Attorney Docket No. 614.1921 (PIK)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:

Tadao NAKAZAWA, et al.

Application No.: 09/248,103

Filed: February 11, 1999

For: ACOUSTO-OPTICAL TUNABLE FILTERS CASCADED TOGETHER

Assistant Commissioner for Patents  
Washington, D.C. 20231

Group Art Unit: 3458

Examiner: Unassigned

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**INFORMATION DISCLOSURE STATEMENT**

In accordance with the duty of disclosure provisions of 37 C.F.R. §1.56, there is hereby provided certain information which the Examiner may consider material to the examination of the subject U.S. patent application. It is requested that the Examiner make this information of record if it is deemed material to the examination of the subject application.

1. Enclosures accompanying this Information Disclosure Statement are:

- 1a. ☒ Form PTO-1449.
- 1b. ☒ Copies of IDS citations. *(If box not checked, see Item 6, below)*
- 1c. ☐ An English language copy of search report(s) from a counterpart foreign application or a PCT International Search Report.
- 1d. ☐ English language translation (complete or relevant portion(s)) attached to each non-English language publication.
- 1e. ☐ Explanations of Relevancy of References (ATTACHMENT 1(e), hereto) for providing a concise explanation of each non-English publication.
- 1f. ☐ List of Copending Applications (ATTACHMENT 1(f), hereto).
- 1g. ☐ List of Additional Submitted Documents (ATTACHMENT 1(g), hereto).

2. ☒ This Information Disclosure Statement is filed under 37 C.F.R. §1.97(b):

*(Check either Item 2a or 2b)*

- 2a. ☒ before the latter of three (3) months after the U.S. patent application filing date or before the first Office Action on the merits therein; or
- 2b. ☐ with the filing of a Request for Continued Examination (RCE) or Continued Prosecution Application (CPA) and before the first Office Action on the merits therein.
- 2c. ☐ during 3-month suspension requested concurrently with filing of CPA or RCE

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- 2d. ☐ with responses to Notice of Missing Parts in relation to CPA filed \_\_\_\_\_.  
Accordingly, no fee or § 1.97(e) Statement is required.
3. ☐ This Information Disclosure Statement is filed under 37 C.F.R. §1.97(c) after the first Office Action on the merits, but before a Final Office Action or a Notice of Allowance.  
*(Check either Item 3a or 3b; Item 3b to be checked if any reference known for more than 3 months)*
- 3a. ☐ The §1.97(e) Statement in Item 5 below is applicable. Accordingly, no fee is required.
- 3b. ☐ The \$180.00 fee set forth in 37 C.F.R. §1.17(p) in accordance with 37 C.F.R. §1.97(c) is:  
☐ enclosed.  
☐ to be charged to Deposit Account No. 19-3935.
4. ☐ This Information Disclosure Statement is filed under 37 C.F.R. §1.97(d) after the Final Office Action or the Notice of Allowance, but before payment of the Issue Fee.  
The § 1.97(e) Statement (Item 5 below) is applicable.  
The \$180.00 fee set forth in 37 C.F.R. §1.17(p) in accordance with 37 C.F.R. §1.97(d) is:  
☐ enclosed.  
☐ to be charged to Deposit Account No. 19-3935.
5. ☐ Statement under § 1.97(e) (*applicable if Item 3a or Item 4 is checked*)  
*(Check either Item 5a or 5b)*
- 5a. ☐ In accordance with 37 C.F.R. §1.97(e)(1), it is stated that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- 5b. ☐ In accordance with 37 C.F.R. §1.97(e)(2), it is stated that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known by any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.
6. ☐ This is a continuation/divisional/continuation-in-part application under 37 C.F.R. §1.53(b).  
*(Check appropriate Items 6a and/or 6b)*
- 6a. ☐ Copies of the publications listed on the attached Form PTO-1449 which were previously cited in prior application Serial No. \_\_\_\_\_, filed on \_\_\_\_\_, of which this application claims priority under 35 U.S.C. §120, have been omitted pursuant to 37 C.F.R. §1.98(d).
- 6b. ☐ Copies of the publications listed on the attached Form PTO-1449 which were not previously cited in prior application Serial No. \_\_\_\_\_, filed on \_\_\_\_\_, of which this application claims priority under 35 U.S.C. §120, are provided herewith.
7. ☐ This is a continuation/divisional application under 37 C.F.R. §1.53(d).

(Check either Item 7a or 7b)

- 7a. ☐ The Issue Fee has not been paid.
- 7b. ☐ A Petition to Withdraw from issue under 37 C.F.R. §1.313(b)(5) is filed concurrently herewith or has been granted. A continuation application under 37 C.F.R. §1.53(d) after payment of the Issue Fee is proper in accordance with 37 C.F.R. §1.53(d)(1)(ii).

8. ☐ This is a Supplemental Information Disclosure Statement.

(Check either Item 8a or 8b)

- 8a. ☐ This Supplemental Information Disclosure Statement under 37 C.F.R. §1.97(f) supplements the Information Disclosure Statement filed on \_\_\_\_\_. A bona fide attempt was made to comply with 37 C.F.R. §1.98, but inadvertent omissions were made. These omissions have been corrected herein. Accordingly, additional time is requested so that this Supplemental IDS can be considered as if properly filed on \_\_\_\_\_.
- 8b. ☐ This Supplemental Information Disclosure Statement is timely filed within one (1) month of the Notice under 37 C.F.R. §1.97(i), mailed \_\_\_\_\_. (MPEP 609, Form ¶ 6.51, July 1997.)

9. ☐ In accordance with 37 C.F.R. §1.98, a concise explanation of what is presently understood to be the relevance of each non-English language publication is:

(Check appropriate Items 9a, 9b, 9c and/or 9d)

- 9a. ☐ satisfied because all non-English language publications were cited on the enclosed English language copy of the PCT International Search Report or the search report from a counterpart foreign application indicating the degree of relevance found by the foreign office. (See U.S. Patent & Trademark Office's authorization in the Federal Register, Vol. 57, No. 12, January 17, 1992, at page 2031 (Reply to Comment 68).)
- 9b. ☐ set forth in the application.
- 9c. ☐ satisfied because an English language translation (complete or relevant portion(s)) is attached to each non-English language publication.
- 9d. ☐ enclosed as Attachment 1(e), hereto.
10. No admission is made that the information cited in this Statement is, or is considered to be, material to patentability nor a representation that a search has been made (other than search report(s) from a counterpart foreign application or a PCT International Search Report, if submitted herewith). 37 C.F.R. §§ 1.97(g) and (h).

11. The Commissioner is authorized to credit any overpayment or charge any additional fee required under 37 C.F.R. §1.17 for this Information Disclosure Statement and/or Petition to Deposit Account No. 19-3935.

Respectfully submitted,

STAAS & HALSEY LLP

Dated:

March 23, 2001

700 Eleventh Street, N.W., Suite 500

Washington, D.C. 20001

Telephone: (202) 434-1500

Facsimile: (202) 434-1501

By:

Paul I. Kravetz

Paul I. Kravetz

Registration No. 35,230



Attorney Docket No. 614.1921/PIK

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:

NAKAZAWA et al.

Application No.: 09/248,103

Filed: February 11, 1999

Group Art Unit: 2731

Examiner: Unassigned

For: ACOUSTO-OPTICAL TUNABLE FILTERS CASCASED TOGETHER **RECEIVED**

JUN 20 2002

Assistant Commissioner for Patents  
Washington, D.C. 20231

Technology Center 2600

**INFORMATION DISCLOSURE STATEMENT**

In accordance with the duty of disclosure provisions of 37 CFR §1.56, there is hereby provided certain information which the Examiner may consider material to the examination of the subject U.S. patent application. It is requested that the Examiner make this information of record if it is deemed material to the examination of the subject application.

1. Enclosures accompanying this Information Disclosure Statement are:

- 1a. ☒ Form PTO-1449.
- 1b. ☒ Copies of IDS citations. (*If box not checked, see Item 6, below*)
- 1c. ☒ An English language copy of search report(s) from a counterpart foreign application or a PCT International Search Report.
- 1d. ☒ English language translation (complete or relevant portion(s)) attached to each non-English language publication.
- 1e. ☐ Explanations of Relevancy of References (ATTACHMENT 1(e), hereto) for providing a concise explanation of each non-English publication.
- 1f. ☐ List of Copending Applications (ATTACHMENT 1(f), hereto).

2. ☒ This Information Disclosure Statement is filed under 37 CFR §1.97(b) before:

(*Check either Item 2a or 2b*)

- 2a. ☒ the latter of three (3) months after the U.S. patent application filing date or the first Office Action on the merits therein; or
- 2b. ☐ the latter of three (3) months after the continued prosecution application (CPA) filing date or the first Office Action on the merits therein.

Accordingly, no fee or § 1.97(e) Statement is required.

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3. ☐ This Information Disclosure Statement is filed under 37 CFR §1.97(c) after the first Office Action on the merits, but before a Final Office Action or a Notice of Allowance.

*(Check either Item 3a or 3b; Item 3b to be checked if any reference known for more than 3 months)*

- 3a. ☐ The §1.97(e) Statement in Item 5 below is applicable. Accordingly, no fee is required.
- 3b. ☐ The \$240.00 fee set forth in 37 CFR §1.17(p) in accordance with 37 CFR §1.97(c) is:
- ☐ enclosed.
- ☐ to be charged to Deposit Account No. 19-3935.

4. ☐ This Information Disclosure Statement is filed under 37 CFR §1.97(d) after the Final Office Action or the Notice of Allowance, but before payment of the Issue Fee.

The § 1.97(e) Statement (Item 5 below) is applicable.

A Petition to the Commissioner is hereby made under 37 CFR §1.97(d) to request consideration of this Information Disclosure Statement. The \$130.00 fee set forth in 37 CFR §1.17(i) is:

- ☐ enclosed.
- ☐ to be charged to Deposit Account No. 19-3935.

5. ☐ Statement under § 1.97(e) (*applicable if Item 3a or Item 4 is checked*)

*(Check either Item 5a or 5b)*

- 5a. ☐ In accordance with 37 CFR §1.97(e)(1), it is stated that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. (Federal Register, Vol. 62, No. 197, page 53190, October 1997.)
- 5b. ☐ In accordance with 37 CFR §1.97(e)(2), it is stated that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known by any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. (Federal Register, Vol. 62, No. 197, page 53190, October 1997.)

6. ☐ This is a continuation/divisional/continuation-in-part application under 37 CFR §1.53(b).

*(Check appropriate Items 6a and/or 6b)*

- 6a. ☐ Copies of the publications listed on the attached Form PTO-1449 which were previously cited in prior application Serial No. \_\_\_\_\_, filed on

\_\_\_\_\_, of which this application claims priority under 35 U.S.C. §120, have been omitted pursuant to 37 CFR §1.98(d).

- 6b. ☐ Copies of the publications listed on the attached Form PTO-1449 which were not previously cited in prior application Serial No. \_\_\_\_\_, filed on \_\_\_\_\_, of which this application claims priority under 35 U.S.C. §120, are provided herewith.

7. ☐ This is a continuation/divisional application under 37 CFR §1.53(d).

*(Check either Item 7a or 7b)*

- 7a. ☐ The Issue Fee has not been paid.

- 7b. ☐ A Petition to Withdraw from issue under 37 CFR §1.313(b)(5) is filed concurrently herewith or has been granted. A continuation application under 37 CFR §1.53(d) after payment of the Issue Fee is proper in accordance with 37 CFR §1.53(d)(1)(ii).

8. ☐ This is a Supplemental Information Disclosure Statement.

*(Check either Item 8a or 8b)*

- 8a. ☐ This Supplemental Information Disclosure Statement under 37 CFR §1.97(f) supplements the Information Disclosure Statement filed on \_\_\_\_\_. A bona fide attempt was made to comply with 37 CFR §1.98, but inadvertent omissions were made. These omissions have been corrected herein. Accordingly, additional time is requested so that this Supplemental IDS can be considered as if properly filed on \_\_\_\_\_.

- 8b. ☐ This Supplemental Information Disclosure Statement is timely filed within one (1) month of the Notice under 37 CFR §1.97(i), mailed \_\_\_\_\_. (MPEP 609, Form ¶ 6.51, July 1997.)

9. ☒ In accordance with 37 CFR §1.98, a concise explanation of what is presently understood to be the relevance of each non-English language publication is:

*(Check appropriate Items 9a, 9b, 9c and/or 9d)*

- 9a. ☐ satisfied because all non-English language publications were cited on the enclosed English language copy of the PCT International Search Report or the search report from a counterpart foreign application indicating the degree of relevance found by the foreign office. (See U.S. Patent & Trademark Office's authorization in the Federal Register, Vol. 57, No. 12, January 17, 1992, at page 2031 (Reply to Comment 68).)

- 9b. ☐ set forth in the application.

- 9c. ☒ satisfied because an English language translation (complete or relevant portion(s)) is attached to each non-English language publication.

- 9d. ☐ enclosed as Attachment 1(e), hereto.

10. No admission is made that the information cited in this Statement is, or is considered to be, material to patentability nor a representation that a search has been made (other than search report(s) from a counterpart foreign application or a PCT International Search Report, if submitted herewith). 37 CFR §§ 1.97(g) and (h).
11. The Commissioner is authorized to credit any overpayment or charge any additional fee required under 37 CFR §1.17 for this Information Disclosure Statement and/or Petition to Deposit Account No. 19-3935.

Respectfully submitted,

STAAS & HALSEY

Dated: August 9, 1999  
700 Eleventh Street, N.W., Suite 500  
Washington, D.C. 20001  
Telephone: (202) 434-1500  
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By: 

Paul I. Kravetz  
Registration No. 35,230